

01-21-00

Please type a plus sign (+) inside this box →



PTO/SB/05 (4/98)

Approved for use through 09/30/00. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <small>(Only for new nonprovisional applications under 37 CFR 1.53(h))</small>		Attorney Docket <b>02581- P0204A</b>	
		First Inventor or Application Identifier <b>Klaus M. Irion</b>	
		Title <b>Endoscopic Instrument For Performing</b>	
		Express Mail Label No. <b>em387359438US</b>	

<b>APPLICATION ELEMENTS</b> <small>See MPEP chapter 600 concerning utility patent application contents</small>		<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing) 2. <input checked="" type="checkbox"/> Specification [Total Pages <b>32</b> ] (preferred arrangement set forth below) - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claims(s) - Abstract of the Disclosure 3. <input checked="" type="checkbox"/> Drawings(s) (35 USC 113) [Total Sheets <b>2</b> ] 4. Oath or Declaration [Total Pages <b>0</b> ] a. <input type="checkbox"/> New executed (original or copy) b. <input type="checkbox"/> Copy from prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 16 completed) i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting Inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).	5. <input type="checkbox"/> Microfiche Computer Program (Appendix) 6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies		

<b>ACCOMPANYING APPLICATION PARTS</b>	
7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 8. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney (where there is an assignee) 9. <input type="checkbox"/> English Translation Document (if applicable) 10. <input type="checkbox"/> Information Disclosure <input type="checkbox"/> Copies of IDS Statement (IDS)/PTO-1449 Citations 11. <input type="checkbox"/> Preliminary Amendment 12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 13. <input type="checkbox"/> * Small Entity <input type="checkbox"/> Statement filed in prior application Statement(s) Status still proper and desired (PTO/SB/09-12) 14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 15. <input type="checkbox"/> Other: .....	..... ..... .....

**NOTE FOR ITEMS 1 & 4D: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).**

16. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information

☒ Continuation ☐ Divisional ☐ Continuation-in-part of prior application No.:

Prior application information: Examiner Group/Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**

☐ Customer Number of Bar Code Label (Insert Customer No or Attach bar code label here) or ☒ Correspondence address below

NAME		Wesley W. Whitmyer, Jr.	
ADDRESS		St. Onge Steward Johnston & Reens LLC	
986 Bedford Street			
CITY	Stamford	STATE	CT
ZIP CODE	06905-5619		
COUNTRY	United States	TELEPHONE	203 324-6155
FAX	203 327-1096		

Name (Print/Type)	Registration No. (Attorney/Agent)
Wesley W. Whitmyer, Jr.	33,558
Signature	Date
<i>[Signature]</i>	1/20/00

Burden Hour Statement: This form is estimated to take 0.2 hour to complete. Times will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Office, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OF COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<h2 style="margin: 0;">FEE TRANSMITTAL</h2> <p style="margin: 0; font-size: small;">Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997. Small Entity payments <u>must</u> be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.</p>				<p><b>Complete if Known</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Application No.</td> <td style="width: 50%;">- Pending</td> </tr> <tr> <td>Filing Date</td> <td>January __, 2000</td> </tr> <tr> <td>First Named Inventor</td> <td>Klaus M. Irion</td> </tr> <tr> <td>Group Art Unit</td> <td></td> </tr> <tr> <td>Examiner Name</td> <td></td> </tr> </table>				Application No.	- Pending	Filing Date	January __, 2000	First Named Inventor	Klaus M. Irion	Group Art Unit		Examiner Name	
Application No.	- Pending																
Filing Date	January __, 2000																
First Named Inventor	Klaus M. Irion																
Group Art Unit																	
Examiner Name																	
TOTAL AMOUNT OF PAYMENT		(\$ ) 1,122.00		Attorney Docket Number		02581-P0204A WWW											

METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)																																																																																																																																																																																					
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payment to:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Deposit Account Number</td> <td style="width: 50%;">19-4516</td> </tr> <tr> <td>Deposit Account Name</td> <td>St. Onge Steward Johnston &amp; Reens LLC</td> </tr> </table> <p>Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input checked="" type="checkbox"/> Charge the issue Fee Set in 37 CFR 1.18 of the Mailing of the Notice of Allowance <input type="checkbox"/></p>				Deposit Account Number	19-4516	Deposit Account Name	St. Onge Steward Johnston & Reens LLC	<p>3. ADDITIONAL FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing for or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing or cover Sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840</td><td>113</td><td>1,840</td><td>Requesting publication of SIR after Examiner Action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>380</td><td>216</td><td>190</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>870</td><td>217</td><td>435</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,360</td><td>218</td><td>680</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,850</td><td>228</td><td>925</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>300</td><td>219</td><td>150</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>300</td><td>220</td><td>150</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>260</td><td>221</td><td>130</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,210</td><td>241</td><td>605</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,210</td><td>242</td><td>605</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>430</td><td>243</td><td>215</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>580</td><td>244</td><td>290</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Informational Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per Property (times number of properties)</td><td></td></tr> <tr><td>146</td><td>790</td><td>246</td><td>395</td><td>Filing a submission after final rejection (37(CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>279</td><td>249</td><td>395</td><td>For each additional invention to be Examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td colspan="6">Other fee (specify) _____</td></tr> <tr><td colspan="6">Other fee (specify) _____</td></tr> </tbody> </table>				Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing for or oath		127	50	227	25	Surcharge - late provisional filing or cover Sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840	113	1,840	Requesting publication of SIR after Examiner Action		115	110	215	55	Extension for reply within first month		116	380	216	190	Extension for reply within second month		117	870	217	435	Extension for reply within third month		118	1,360	218	680	Extension for reply within fourth month		128	1,850	228	925	Extension for reply within fifth month		119	300	219	150	Notice of Appeal		120	300	220	150	Filing a brief in support of an appeal		121	260	221	130	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,210	241	605	Petition to revive - unintentional		142	1,210	242	605	Utility issue fee (or reissue)		143	430	243	215	Design issue fee		144	580	244	290	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of Informational Disclosure Stmt		581	40	581	40	Recording each patent assignment per Property (times number of properties)		146	790	246	395	Filing a submission after final rejection (37(CFR 1.129(a))		149	279	249	395	For each additional invention to be Examined (37 CFR 1.129(b))		Other fee (specify) _____						Other fee (specify) _____					
Deposit Account Number	19-4516																																																																																																																																																																																								
Deposit Account Name	St. Onge Steward Johnston & Reens LLC																																																																																																																																																																																								
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																				
105	130	205	65	Surcharge - late filing for or oath																																																																																																																																																																																					
127	50	227	25	Surcharge - late provisional filing or cover Sheet																																																																																																																																																																																					
139	130	139	130	Non-English specification																																																																																																																																																																																					
147	2,520	147	2,520	For filing a request for reexamination																																																																																																																																																																																					
112	920*	112	920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																					
113	1,840	113	1,840	Requesting publication of SIR after Examiner Action																																																																																																																																																																																					
115	110	215	55	Extension for reply within first month																																																																																																																																																																																					
116	380	216	190	Extension for reply within second month																																																																																																																																																																																					
117	870	217	435	Extension for reply within third month																																																																																																																																																																																					
118	1,360	218	680	Extension for reply within fourth month																																																																																																																																																																																					
128	1,850	228	925	Extension for reply within fifth month																																																																																																																																																																																					
119	300	219	150	Notice of Appeal																																																																																																																																																																																					
120	300	220	150	Filing a brief in support of an appeal																																																																																																																																																																																					
121	260	221	130	Request for oral hearing																																																																																																																																																																																					
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																																					
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																																																					
141	1,210	241	605	Petition to revive - unintentional																																																																																																																																																																																					
142	1,210	242	605	Utility issue fee (or reissue)																																																																																																																																																																																					
143	430	243	215	Design issue fee																																																																																																																																																																																					
144	580	244	290	Plant issue fee																																																																																																																																																																																					
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																																					
123	50	123	50	Petitions related to provisional applications																																																																																																																																																																																					
126	240	126	240	Submission of Informational Disclosure Stmt																																																																																																																																																																																					
581	40	581	40	Recording each patent assignment per Property (times number of properties)																																																																																																																																																																																					
146	790	246	395	Filing a submission after final rejection (37(CFR 1.129(a))																																																																																																																																																																																					
149	279	249	395	For each additional invention to be Examined (37 CFR 1.129(b))																																																																																																																																																																																					
Other fee (specify) _____																																																																																																																																																																																									
Other fee (specify) _____																																																																																																																																																																																									
<p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p><input checked="" type="checkbox"/> Check <input type="checkbox"/> Money <input type="checkbox"/> Other Order</p>				<p>1. BASIC FILING FEE</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101</td><td>690</td><td>201</td><td>345</td><td>Utility filing fee</td><td>690.00</td></tr> <tr><td>106</td><td>310</td><td>206</td><td>155</td><td>Design filing fee</td><td></td></tr> <tr><td>107</td><td>480</td><td>207</td><td>240</td><td>Plant filing fee</td><td></td></tr> <tr><td>108</td><td>760</td><td>208</td><td>380</td><td>Reissue filing fee</td><td></td></tr> <tr><td>114</td><td>150</td><td>214</td><td>75</td><td>Provisional filing fee</td><td></td></tr> <tr><td colspan="5" style="text-align: right;"><b>SUBTOTAL (1)</b></td><td><b>(\$ ) 690.00</b></td></tr> </tbody> </table> <p>2. EXTRA CLAIMS FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from Below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>44</td> <td>-20**= 24</td> <td>X 18</td> <td>= 432.00</td> </tr> <tr> <td>Independent Claims 2</td> <td>-3 = 0</td> <td>X 0</td> <td>= 0</td> </tr> <tr> <td>Multiple Dependent (No.)</td> <td></td> <td>X</td> <td>=</td> </tr> </tbody> </table> <p>**or number previously paid, if greater; For Reissues, see below</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td><td></td></tr> <tr><td>102</td><td>78</td><td>202</td><td>39</td><td>Independent claims in excess of 3</td><td></td></tr> <tr><td>104</td><td>260</td><td>204</td><td>130</td><td>Multiple dependent claims</td><td></td></tr> <tr><td>108</td><td>78</td><td>208</td><td>39</td><td>Reissue independent claims over original patent</td><td></td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9</td><td>Reissue claims in excess of 20 and over original patent</td><td></td></tr> <tr><td colspan="5" style="text-align: right;"><b>SUBTOTAL (2)</b></td><td><b>(\$ ) 432.00</b></td></tr> </tbody> </table>				Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	101	690	201	345	Utility filing fee	690.00	106	310	206	155	Design filing fee		107	480	207	240	Plant filing fee		108	760	208	380	Reissue filing fee		114	150	214	75	Provisional filing fee		<b>SUBTOTAL (1)</b>					<b>(\$ ) 690.00</b>	Total Claims	Extra Claims	Fee from Below	Fee Paid	44	-20**= 24	X 18	= 432.00	Independent Claims 2	-3 = 0	X 0	= 0	Multiple Dependent (No.)		X	=	Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	103	18	203	9	Claims in excess of 20		102	78	202	39	Independent claims in excess of 3		104	260	204	130	Multiple dependent claims		108	78	208	39	Reissue independent claims over original patent		110	18	210	9	Reissue claims in excess of 20 and over original patent		<b>SUBTOTAL (2)</b>					<b>(\$ ) 432.00</b>																																																																														
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																				
101	690	201	345	Utility filing fee	690.00																																																																																																																																																																																				
106	310	206	155	Design filing fee																																																																																																																																																																																					
107	480	207	240	Plant filing fee																																																																																																																																																																																					
108	760	208	380	Reissue filing fee																																																																																																																																																																																					
114	150	214	75	Provisional filing fee																																																																																																																																																																																					
<b>SUBTOTAL (1)</b>					<b>(\$ ) 690.00</b>																																																																																																																																																																																				
Total Claims	Extra Claims	Fee from Below	Fee Paid																																																																																																																																																																																						
44	-20**= 24	X 18	= 432.00																																																																																																																																																																																						
Independent Claims 2	-3 = 0	X 0	= 0																																																																																																																																																																																						
Multiple Dependent (No.)		X	=																																																																																																																																																																																						
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																				
103	18	203	9	Claims in excess of 20																																																																																																																																																																																					
102	78	202	39	Independent claims in excess of 3																																																																																																																																																																																					
104	260	204	130	Multiple dependent claims																																																																																																																																																																																					
108	78	208	39	Reissue independent claims over original patent																																																																																																																																																																																					
110	18	210	9	Reissue claims in excess of 20 and over original patent																																																																																																																																																																																					
<b>SUBTOTAL (2)</b>					<b>(\$ ) 432.00</b>																																																																																																																																																																																				
SUBTOTAL (3)				(\$ )																																																																																																																																																																																					

SUBMITTED BY St. Onge Steward Johnston & Reens LLC				Complete (if applicable)	
Typed or Printed Name		Wesley W. Whitmyer, Jr.		Reg. Number	33,558
Signature		Date		Deposit Account User ID	19-4516

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORM TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PATENT  
02581-P0204A WWW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant	Klaus M. Irion
Serial No. - Pending	January 19, 2000
Title of Application:	Endoscopic Instrument For Performing Endoscopic Procedures

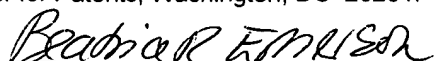
Assistant Commissioner for Patents  
Washington, DC 20231

Cover Sheet For Two Sheets Of Drawings

Attorney for Applicant  
Wesley W. Whitmyer, Jr., Registration No. 33,558  
**ST.ONGE STEWARD JOHNSTON & REENS LLC**  
986 Bedford Street  
Stamford, CT 06905-5619  
203 324-6155

Express Mail Certificate: I hereby certify that this correspondence is today being deposited with the U.S. Postal Service as *Express Mail Post Office to Addressee* Mailing Label Number EM387359438US in an envelope addressed to: Box Patent Application, Assistant Commissioner for Patents; Washington, DC 20231.

January 20, 2000

  
Beatrice R. Emerson